

## Alameda County Congestion Management Agency

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October 30, 2008 Agenda Item 6.3.2

#### Memorandum

DATE:

October 23, 2008

TO:

CMA Board

FROM:

Plans and Programs Committee

RE:

Federal STP/CMAQ Program: Quarterly At Risk Report

#### **Action Requested**

The Board is requested to approve the attached Quarterly At Risk Report for local projects programmed in the Federal STP/CMAQ Program.

#### Discussion

The report, dated September 30, 2008, is intended to identify activities required to comply with the requirements set forth in MTC's Resolution 3606, the Regional STP/CMAQ Project Delivery Policy. There are 61 locally sponsored federally funded projects segregated by "zone." Red zone projects are considered at a relatively high risk of non-compliance with the provisions of Resolution 3606. Yellow zone projects are considered at moderate risk, and green zone at low risk. The criteria for determining the project zones are listed in Appendix A of the report.

The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). A project may have multiple risk factors that indicate multiple zones. The risk zone associated with each risk factor is indicated in the tables. Projects with multiple risk factors are listed in the zone of higher risk. Appendix B provides details related to the Resolution 3606 deadlines associated with each of the Required Activities used to determine which zone of risk a project is assigned to. Appendix C provides the date of the last invoice for projects with obligated funds. The deadline for submitting the environmental package one year in advance of the obligation deadline for right of way or construction capital funding is tracked and reported, but is not affiliated with any zone of risk.

Note that MTC recently revised Resolution 3606. For projects programmed with funding in federal FY 2008/09, the deadline to submit the request for authorization is February 1, 2009 and the obligation deadline is April 30, 2009.

The report is based on the information made available to the CMA's project monitoring team. This information stems from the project sponsors as well as other funding agencies such as MTC and Caltrans Local Assistance.

Attachment

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				Red Z	Zone Projects				
Index	TIP ID	Sponsor	Project	Title					
	Source	Prog'd Amou (\$x 1,000)		FY	Req'd Activity	Date Req'd By	Zone	Notes	Pro Zo:
1	ALA010032	ACCMA		an Lean	dro Estudillo Noise B				
	STP	\$7,262	Con	08/09	Submit Env Package	05/31/08	NA	Required for CON Auth.	N.
					Submit Req for Auth	02/01/09	R		(
					Obligate Funds	04/30/09	G		C
2	ALA050018	ACCMA	Grand/	MacArt	hur Bus Improvemen	its			
	CMAQ	\$500	Con	06/07	Advertise Contract	11/22/08	R	\$500 Obligated 5/22/08	F
					Award Contract	02/22/09	R		ŀ
3	ALA050036	ACCMA	SMAR	T Corric	lors Operations & M	anagement			
	CMAQ	\$518			Advertise Contract	01/03/09	R	\$518 Obligated 7/3/08	ŀ
					Award Contract	04/03/09	Y		ŀ
	CMAQ	\$283	Con	06/07	Obligate Funds	Note 1	R		F
	STP	\$135	Con	05/06	Liquidate Funds	09/07/12	G	\$135 Obligated 9/7/06	I
4	ALA070020	ACCMA	I-580 (7	ri-Valle	ey) Corridor - EB HO	V Lane			
	CMAQ	\$6,000	Con	08/09	Submit Env Package	05/31/08	NA	Required for CON Auth.	N
					Submit Req for Auth	02/01/09	R		(
					Obligate Funds	04/30/09	G		(
5	ALA070049	Alameda	Signal (	Coordin	ation: 8th St, Otis Dr.	., & Park S	t.		
	CMAQ	\$138	Con	07/08	Advertise Contract	10/18/08	R	\$138 Obligated 4/18/08 Advertise sched'd 10/24/08	]
					Award Contract	01/18/09	R		I
		· ·			Submit First Invoice	04/18/09	G		N
6	ALA050072	Ala. County	Castro	Valley E	Blvd Pavement Rehab	ilitation -F	oothil	Blvd. to Stanton Ave.	
	STP	\$758	Con	08/09	Submit Env Package	05/31/08	NA	Required for CON Auth.	N
					Submit Req for Auth	02/01/09	R		. (
		·			Obligate Funds	04/30/09	G	ii.	(
	STP	\$83	PSE	06/07	Liquidate Funds	06/26/13	G	\$83 obligated 6/26/07	(
7	ALA070040	Ala. County	Hampte	on Rd St	reetscape Improvem	ent			
	CMAQ	\$2,999		08/09		05/31/08	NA	Required for CON Auth.	N
					Submit Req for Auth	02/01/09	R		(
					Obligate Funds	04/30/09	G		(
9	ALA070051	BART	BART		Electronic Bike Locke	ers, Phase 2			
	CMAQ	\$130	Con	08/09	Submit Env Package	05/31/08		Required for CON Auth.	N
					Submit Req for Auth	02/01/09	R		. (
					Obligate Funds	04/30/09	G		
10	ALA050073	Berkeley		•	Reconstruction				
	STP	\$630	Con	08/09	Submit Env Package	05/31/08		Required for CON Auth.	N
					Submit Req for Auth	02/01/09	R		(
	17 10 2000	B 111	<u> </u>		Obligate Funds	04/30/09	G		
11	ALA050082	Dublin			RT Station Corridor			B 0 B 115/20/55	
	CMAQ	\$1,535	Con	08/09	Submit Req for Auth	02/01/09	R	Env Cat. Ex. app'd 7/28/08	(
	CMAC	<b>ድ</b> ሳሳ ላ	DI:	06/07	Obligate Funds	04/30/09	G	6204 Obligated 4/12/07	0
	CMAQ	\$284	PE	06/07	Liquidate Funds	04/12/13	G	\$284 Obligated 4/12/07	

Indov	TIP ID	Sponsor		Project '		Projects (Cont	<del>'</del>			
maex	Source	-	l Amount		FY	Req'd Activity	Date	Zone	Notes	Pr
	Source	_	5x 1,000)		ГІ	Keq u Activity	Req'd By	Zone	ivotes	Zo
12	ALA050083	Dublin	1,000)		ıblin R	ART Station Corridor		aente		
	CMAQ	Dubin	\$1,052	Con	08/09	Submit Req for Auth	02/01/09	R	Env Cat. Ex. app'd 7/28/08	(
	OMITQ		Ψ1,032	Con	00/07	Obligate Funds	04/30/09	G	Env Cat. Ex. app a 1120106	ì
	CMAQ		\$205	PE	06/07	Liquidate Funds	04/12/13	G	\$205 Obligated 4/12/07	Ì
13	ALA070037	Fremont	\$203			etscape and Parking			\$203 Obligated 4/12/07	
13	CMAQ	riemont	\$1,570	Con	08/09	Submit Env Package	05/31/08	NΔ	Required for CON Auth.	N
	CIMAQ		φ1,570	Con	00/09	Submit Req for Auth	02/01/09	R	Required for CON Audi.	1
						Obligate Funds	04/30/09	G		(
1.4	ALA070050	T		N/	A A .		04/30/09	u		
14		Fremont	\$419	•		terial Management Obligate Funds	Mata 1	ъ	Cubid Dan MEDA Dalas	1
15	CMAQ ALA070038	T francisco	\$419	Con			Note 1	R	Sub'd Req - NEPA Delay	]
15		Livermore	¢1 040			ermore Ped Transit C		NI A	Dequired for CON Andle	<b>3</b> .1
	CMAQ		\$1,060	Con	08/09	Submit Env Package	05/31/08		Required for CON Auth.	N
						Submit Req for Auth	02/01/09	R		]
	OMAG		6140	DE	07/00	Obligate Funds	04/30/09	G	#140 11' ( 111/16/07	]
1.0	CMAQ	0.11.1	\$140	PE	07/08	Liquidate Funds	11/16/13	<u>G</u>	\$140 obligated 11/16/07	]
16	ALA050023	Oakland	Φ0 40 <i>ć</i>	Rehab o			10/11/00	ъ	00.407.0111 . 1.4/11/00	,
	STP		\$2,486	Con	07/08	Advertise Contract	10/11/08	R	\$2,486 Obligated 4/11/08	,
						Award Contract	01/11/09	R		
				_		Submit First Invoice	04/11/09	G		
	STP		\$1,573	Con		Liquidate Funds	06/21/12	G	\$1,573 Obligated 6/21/06	
17	ALA050039	Oakland	04.00			nsit Hub Improveme		_		
	CMAQ		\$100	Con	07/08	Obligate Funds	05/31/08	R	Transferred from Latham- Telegraph (Amd 2007-23)	N
	CMAQ		\$896	Con	06/07	Liquidate Funds	03/30/13	G	\$681 Obligated 3/30/07 \$215 Obligated 9/5/07	-
	CMAQ		\$200	PE	05/06	Liquidate Funds	03/30/12	G	\$200 Obligated 3/30/06	
18	ALA050080	Oakland	Ψ200			and Transit Village I	· - · · · · · · · · · · · · · · · · · ·		\$200 Obligated 5/30/00	
10	CMAQ	Cakianu	\$1,580	Con	08/09	Submit Env Package	05/31/08	NA	Required for CON Auth.	N
	O.M. IQ		Ψ1,500	Con	00/07	Submit Req for Auth	02/01/09	R	Roquitor Cort / Iutili	
						Obligate Funds	04/30/09	G		]
	CMAQ		\$750	Con	08/09	-	04/30/09	G	From Latham-Telegraph	N
				COII		J		·G	Pending TIP Amend 2007-23	
	CMAQ		\$320	PE		Liquidate Funds	11/05/13	G	\$320 Obligated 11/5/07	
19	ALA070011	Oakland		Coliseur						
	CMAQ		\$530	Con	08/09	Submit Env Package	05/31/08		Required for CON Auth.	Ŋ
						Submit Req for Auth	02/01/09	R		-
						Obligate Funds	04/30/09	G		
	CMAQ		\$700	Con	08/09	Obligate Funds	04/30/09	G	From Latham-Telegraph Pending TIP Amend 2007-23	N
20	ALA070039	Oakland		Oakland	Water	front Bay Trail			· · · · · · · · · · · · · · · · · · ·	
_•	CMAQ		\$899	Con	07/08	•	10/16/08	R	\$599 Obligated 4/16/08	
				_ • • •		Award Contract			_	
						Award Contract	01/16/09	R	Add'l \$300 Obligated 7/11/08	

Index	TIP ID	Sponsor	Project T	<b>Citle</b>					
	Source	Prog'd Amount (\$x 1,000)	-	FY	Req'd Activity	Date Req'd By	Zone	Notes	Pre Zor
21	ALA070057	Oakland	Frutival	e Ave S	treetscape & Pedestri		emen	ts	
	CMAQ	\$300	PE	08/09	Submit Req for Auth	02/01/09		PE and Con in same FY	G
					Obligate Funds	04/30/09	G		G
	CMAQ	\$1,700	Con	08/09	Submit Env Package	05/31/08	·NA	Required for CON Auth.	NA
					Submit Req for Auth	02/01/09	R		G
					Obligate Funds	04/30/09	G		G
	CMAQ	\$620	Con	08/09	Obligate Funds	04/30/09	G	From Latham-Telegraph Pending TIP Amend 2007-23	N.
22	ALA050078	San Leandro	Bay Tra	il Bridg	ge at Oyster Bay Slou	gh			
	CMAQ	\$750	Con	07/08	Obligate Funds	Note 1	R	Sub'd Req 2/29/08 NEPA Delay	R
23	ALA050069	San Leandro	Washing	gton Av	e Rehab -San Lorenz	o Creek to	I-880	O/C	
	STP	\$442	Con	07/08	Advertise Contract	11/07/08	R	\$442 Obligated 5/7/08	R
					Award Contract	02/07/09	R		F
					Submit First Invoice	05/07/09	G		R
	STP	\$49	PE	06/07	Liquidate Funds	03/05/13	G	\$49 Obligated 3/5/07	R
24	ALA050070	Union City	Alvarad	o-Niles	Pavement Rehabilita	tion			
	STP	\$421	Con	08/09	Submit Req for Auth	02/01/09	R	Sub'd Env Package 1/17/08	F
					Obligate Funds	04/30/09	G		F
i	STP	\$5	PSE	07/08	Liquidate Funds	04/04/14	G	\$5 Obligated 4/4/08	N

Index	TIP ID	Sponsor	,-	Project '	<b>Fitle</b>					
	Source	Prog'd	Amount	Phase	FY	Req'd Activity	Date	Zone	Notes	Pre
		(\$>	(1,000)				Req'd By			Zon
25	ALA070041	ACCMA		I-80 Inte	grated	Corridor Mobility	· <del>_</del>			
	CMAQ	:	\$3,243	PE	07/08	Submit First Invoice	01/10/09	Y	\$3,243 Obligated 7/10/08	R
26	ALA070042	ACCMA		I-880 SE	HOV	Lanes -Marina to He	genberger			
	STP		\$198	PE	08/09	Submit Req for Auth	02/01/09	Y		G
						Obligate Funds	04/30/09	G		G
	CMAQ	:	\$2,781	PE	08/09	Submit Req for Auth	02/01/09	Y		G
						Obligate Funds	04/30/09	G		G
•	CMAQ	;	\$4,000	PE	07/08	Liquidate funds	12/19/13	G	\$4M obligated 12/19/07	·G
			, ,			•			STP to CMAQ 4/18/08	

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						Zone Projects					
Index	TIP ID Source		l Amount Sx 1,000)		Title FY	Req'd Activity	Date Req'd By	Zone	Notes	Pr Zo	
27	ALA050009	ACTIA		I-580 C	astro Va	illey Interchange Imp	provements				
	STP		\$1,000	Con	07/08	Submit First Invoice	04/28/09	G	\$1,000 Obligated 4/28/08	F	
28	ALA010034	AC Transit				acilities Upgrade					
	STP		\$4,000	Con	07/08		Obligated f	or Tr	ansfer to FTA Grant		
29	ALA010063	AC Transit		-		s Catalyst Devices					
	CMAQ	<del></del>	\$68	Con	04/05	<del> </del>	Obligated for Transfer to FTA Grant				
30	ALA070047	AC Transit				Berkeley	Oblicated (	·			
31	CMAQ	AC Tuon eld	\$216	Con	07/08	N D	Obligated 1	or 1r	ansfer to FTA Grant		
31	ALA070055 CMAQ	AC Transit	\$100	Con	07/08	New Buses	Obligated t	Com Ton	omafor to ETA Cross		
32		Alamada				o Cianal Canadination		OF 11	ansfer to FTA Grant		
34	CMAQ	Alameda	\$59	City of A		a Signal Coordination Liquidate Funds	05/31/13	G	\$59 Obligated 5/31/07 Force Account	(	
33	ALA030002	Ala. Count	y	Vasco R	load Saf	fety Imps. Phase 1					
	STP		\$9,350	Con		Submit First Invoice	07/29/09	G	\$9,350 Obligated 6/20/08 Contract Awarded 7/29/08	N	
	STP		\$3,900	R/W	04/05	Liquidate Funds	06/29/11	G	\$3,900 Obligated 6/29/05	]	
34	ALA050021	Ala. Count		East Av		(Windfeldt Rd. to E	•				
	STP		\$505	Con	05/06	Liquidate Funds	.07/09/12	G	\$505 Obligated 7/9/06	(	
	STP		\$27	PSE	04/05	Liquidate Funds	02/28/11	G	\$27 Obligated 2/28/05	(	
35	ALA050052	Ala. Count	y	East Ca	stro Va	lley Blvd/ Dublin Car	ıyon Rd.				
	STP		\$572	Con	05/06	Liquidate Funds	08/13/12	G	\$572 Obligated 8/13/06	(	
	STP		\$44	PE	05/06	Liquidate Funds	01/20/12	G	\$44 Obligated 1/20/06	(	
36	ALA050065	BART		Ed Rob	erts Car	npus		·			
	CMAQ		\$2,000	Con	07/08		Obligated f	or Tra	ansfer to FTA Grant 8/1/08		
37	ALA070034	BART		Ashby I		tation / Ed Roberts C	-				
	CMAQ		\$1,386	Con	08/09	P.,		or Tr	ansfer to FTA Grant 8/1/08		
38		Berkeley				Corridor Bicycle Pat		_			
	CMAQ		\$1,034	R/W		Liquidate Funds	06/08/12	G	\$1,034 Obligated 6/8/06	(	
39	ALA050059	Caltrans				andscaping					
	STP	T3 .	\$500	Con		Liquidate Funds	05/11/13	G	\$500 Obligated 5/11/07	(	
40	ALA050022 STP	Fremont	\$2,172	Rehab o		ous Sts Liquidate Funds	06/13/12	G	\$2,172 Obligated 6/13/06	I	
	STP		\$2,850	Con		Liquidate Funds Liquidate Funds	05/30/13	G G	\$2,850 Obligated 5/30/07	ŀ	
41	ALA050025	Hayward		Hesperi		<del></del>	03/30/13		\$2,650 Collgated 5/50/07		
	STP	may ward	\$713	Con		Liquidate Funds	06/27/12	G	\$713 Obligated 6/27/06	(	
	STP		\$8	Env		Liquidate Funds	02/15/12	G	\$8 Obligated 2/15/06	(	
42	ALA050056	Hayward	<del></del>	West A			02/13/12		40 Congated 2/15/00		
72	STP	maywaru	\$117	Con		Liquidate Funds	06/27/12	G	\$117 Obligated 6/27/06	(	
	STP		\$5	Env		Liquidate Funds	02/15/12	_	\$5 Obligated 2/15/06	G G	
42		Hann ?						G			
43	ALA050071 STP	Hayward	\$776	Con		ous Streets (Arterial I Liquidate Funds	<b>2avement Ro</b> 03/26/14	ehab) G	\$835 Obligated 3/26/08	,	
	STP		\$104	PE		Liquidate Funds Liquidate Funds	03/20/14	G	\$104 Obligated 4/3/07	) }	
	D.1.		ψιστ		00/07	Liquidate I dilus	0 11 001 10	J	E-76 revised to \$45 3/26/08	,	
44	ALA070052	Hayward	· · · · · ·	Second	Street N	lew Sidewalk Constru	uction				
	CMAQ	•	\$337	Con	07/08		05/07/09	G	\$337 Obligated 5/7/08	F	
						Accept Contract	07/01/11		Contract Awarded 7/1/08	N.	

					ie Projects (co	,,,,			
Index	TIP ID	Sponsor		et Title					
	Source	Prog'd Amo (\$x 1,0		e FY	Req'd Activity	Date Req'd By	Zone	e Notes	Pr Zo
45	ALA030015		Acqui		Catalyst Devices				
	CMAQ	\$17	75 Con	04/05		Obligated	for Tr	ansfer to FTA Grant	
46	ALA030017				te 70 & Subscript. F				
	CMAQ	\$8	39 Con	04/05	· · · · · · · · · · · · · · · · · · ·	Obligated	for Tr	ansfer to FTA Grant	
47	ALA070028				uttle Services				
	CMAQ		38 Con				for Tr	ansfer to FTA Grant	
48	ALA070029				santon BART Statio				
	CMAQ	\$10					for Tr	ansfer to FTA Grant	
49	ALA050054	Livermore			(Hillcrest to Loyol		_	04.50.0111 . 1.50.00	
	STP	\$1:	58 Con	05/06	Liquidate Funds	05/01/12	G	\$158 Obligated 5/1/06	
50	ALA050024	Livermore	South	Vasco Ro	l Rehab				
	STP	\$30	00 Con	05/06	Liquidate Funds	05/01/12	G	\$300 Obligated 5/1/06	
51	ALA050068	Livermore	Murr	ieta Blvd	Pavement Rehabilit	tation			
	STP	\$48	86 Con	06/07	Liquidate Funds	04/27/13	G	Final Invoice Sub'd 11/17/07	
52	ALA010021	Oakland	City o	f Oaklan	d Street Resurfacin	g Program			
	STP	\$82	25 Con	05/06	Liquidate Funds	06/21/12	G	\$825 Obligated 6/21/06	
53	ALA030007	Oakland	Colise	um Tran	sit Hub (San Leand	ro St. btwn 7:	3rd &	& 66th Ave)	
	CMAQ	\$3	89 Con		Liquidate Funds	01/17/13	G	•	
54	ALA050028	Oakland	China	town Ped	Imps				
•	CMAQ	\$1,9			Liquidate Funds	06/30/12	G	\$1,933 Obligated 6/30/06	
	CMAQ	\$20			Liquidate Funds	05/17/11	G		
55	ALA050061	Oakland			legraph Improvem				
	CMAQ	\$2,4			.eg.upp. o , e		ed to	5 projects in TIP Amend 2007-	-23
56	ALA070027	Oakland		akland Ba	v Trail				
20	CMAQ	\$7			Liquidate Funds	03/19/13	G	\$770 Obligated 3/19/07	
57	ALA050026	San Leandro		ington Av	<del></del>				
	STP		30 PSE		Liquidate Funds	02/24/11	G	\$30 Obligated 2/24/05	
	STP	\$4	45 Con	05/06	Liquidate Funds	03/24/12	G	\$455 Obligated 3/24/06	
58		San Leandro	Flores		treet Rehab		-		
					Liquidate Funds	03/24/12	G	\$185 Obligated 3/24/06	
59	Δ1.Δ070030	San Leandro	_		System Improvemen			·	
37	CMAQ	\$1			Liquidate Funds	04/30/13	G	\$100 Obligated 4/30/07	
60	ALA070048	San Leandro			TMS Upgrade				
	CMAQ	\$1			Submit First Invoice	04/02/09	G	\$184 Obligated 4/2/08	
•	•							Force Account	
			. <u> </u>		Liquidate Funds	04/02/14	G		,
61	ALA990015	Union City		itermodal	Station				
	CMAQ	\$1				•		ransfer to FTA Grant 2/6/08	
	CMAQ	\$1,7				-		ansfer to FTA Grant 1/25/08	
	CMAQ	\$3,0	24 Con	05/06		Obligated	for Tr	ansfer to FTA Grant 7/10/06	

Not	tes	
	1	MTC Reso 3606 deadline has passed. Sponsor is working with Caltrans, MTC and ACCMA to expedite required activity.
1		

# Appendix A Federal At Risk Report Zone Criteria Required Activities per Resolution 3606 (Revised July 23, 2008)

Required Activities	Criteria T	imeframes for Required	Activities				
Monitored by CMA <sup>1</sup>	Red Zone	Yellow Zone	Green Zone				
Request Project Field Review	Project in TIP for more than nine (9) months, or obligation deadline for Con funds within 15 months.	Project in TIP for less than nine (9) months, and obligation deadline for Con funds more than 15 months away.	All conditions other than Red or Yellow Zones				
Submit Environmental Package	NA	NA	NA				
Approved DBE Program and Methodology	NA	NA ·	NA				
Submit Request for Authorization (PE)	within three (3) months	within three (3) to six (6) months	All conditions other than Red or Yellow Zones				
Submit Request for Authorization (R/W)	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones				
Submit Request for Authorization (Con)	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones				
Obligation/ FTA Transfer	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones				
Advertise Construction	within four (4) months	within four (4) to six (6) months	All conditions other than Red or Yellow Zones				
Award Contract	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones				
Award into FTA Grant	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones				
Submit First Invoice	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones				
Liquidate Funds	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones				
Project Closeout	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones				
Other Zone Criteria							
Red Zone	Projects with funds programmed in the same FY for both a project development phase (i.e. Env or PSE) and a capital phase (i.e. R/W or Con) without the project development phase(s) obligated.						
Yellow Zone	Projects with an Amendm	ent to the TIP pending.					
Notes: <sup>1</sup> See Apendix B for more information	ation about the Required Activ	vities and Resolution 3606.	<del></del>				

	Appendix B  Definitions of the Required Activities per Resolution 3606 (As revised July 23)	3, 2008)
Index	Definition	Deadline
1	Req Proj Field Rev  Per MTC Resolution 3606-Revised, "Implementing agencies are required to request a field review from Caltrans Local Assistance within 12 months of approval of the project in the TIP <sup>1</sup> , but no less than 12 months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities. Failure for an implementing agency to make a good-faith effort in requesting and scheduling a field review from Caltrans Local Assistance within twelve months of programming into the TIP could result in the funding being reprogrammed and restrictions on future programming and obligations. Completed field review forms must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures."	12 months from approval in the TIP <sup>1</sup> , but no less than 12 months prior to the obligation deadline of construction funds.
2	Per MTC Resolution 3606-Revised, "Implementing agencies are required to submit a complete environmental package to Caltrans for all projects (except those determined Programmatic Categorical Exclusion as determined by Caltrans at the field review), twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way and construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being reprogrammed. The requirement does not apply to FTA transfers, regional operations projects or planning activities."	12 months prior to the obligation deadline for RW or Con funds. (No change)
3	Approved DBE Prog Per MTC Resolution 3606-Revised, "Obligation of federal funds may not occur for contracted activities (any combination of environmental/ design/ construction/ procurement activities performed outside the agency) until and unless an agency has an approved DBE program and methodology for the current federal fiscal year. Therefore, agencies with federal funds programmed in the TIP must have a current approved DBE Program and annual methodology (if applicable) in place prior to the fiscal year the federal funds are programmed in the TIP. STP/CMAQ funding-for agencies without approved DBE—methodology for the current year are subject to redirection to other projects after March 1. Agencies should begin the DBE process no later than January 1 to meet the March 1 deadline. Projects advanced under the Expedited Project Selection Process (EPSP) must have an approved DBE program and annual methodology for the current year (if applicable) prior to the advancement of funds."	Approved program and methodology in place prior to the FFY the funds are programmed in the TIP.
4	Sub Req for Auth  Per MTC Resolution 3606-Revised, "In order to ensure funds are obligated or transferred to FTA in a timely manner, the implementing agency is required to deliver a complete funding obligation / FTA Transfer request package to Caltrans Local Assistance by February 1 of the year the funds are listed in the TIP. Projects with complete packages delivered by February 1 of the programmed year will have priority for available OA, after ACA conversions that are included in the Obligation Plan. If the project is delivered after February 1 of the programmed year, the funds will not be the highest priority for obligation in the event of OA limitations, and will compete for limited OA with projects advanced from future years. Funding for which an obligation/ FTA transfer request is submitted after the February 1 deadline will lose its priority for OA, and be viewed as subject to reprogramming."	February 1 of FY in which funds are programmed in the TIP.

	Appendix B - Continued	
	Definitions of the Required Activities per Resolution 3606 (As revised July 2	3, 2008)
Index	Definition	Deadline
5	Obligate Funds/ Transfer to FTA	<u></u>
	Per MTC Resolution 3606-Revised, "STP and CMAQ funds are subject to an obligation/FTA transfer deadline of April 30 of the fiscal year the funds are programmed in the TIP. Implementing agencies are required to submit the completed request for obligation or FTA transfer to Caltrans Local Assistance by February 1 of the fiscal year the funds are programmed in the TIP, and receive an obligation/FTA transfer of the funds by April 30 of the fiscal year programmed in the TIP. For example, projects programmed in FY 2007-08 of the TIP have an obligation/FTA transfer request submittal deadline (to Caltrans) of February 1, 2008 and an obligation/FTA transfer deadline of April 30, 2008. Projects programmed in FY 2008-09 have an obligation request submittal deadline (to Caltrans) of February 1, 2009 and an obligation/FTA transfer deadline of April 30, 2009. No extensions will be granted to the obligation deadline."	April 30 of FY in which funds are programmed in the TIP.
6	Execute PSA	
	Per MTC Resolution 3606, "The implementing agency must execute and return the Program Supplement Agreement (PSA) to Caltrans in accordance with Caltrans Local Assistance procedures. The agency must contact Caltrans if the PSA is not received from Caltrans within 60 days of the obligation. This requirement does not apply to FTA transfers. Agencies that do not execute and return the PSA to Caltrans within the required Caltrans deadline will be unable to obtain future approvals for any projects, including obligation and payments, until all PSAs for that agency, regardless of fund source, meet the PSA execution requirement. Funds for projects that do not have an executed PSA within the required Caltrans deadline are subject to de-obligation by Caltrans."	•
7	Advertise Contract/Award Contract/Award into FTA Grant	
	Per MTC Resolution 3606-Revised, "For the Construction (CON) phase, the construction/equipment purchase contract must be advertised within 6 months of obligation and awarded within 9 months of obligation. However, regardless of the advertisement and award deadlines, agencies must still meet the invoicing deadline for construction funds. Failure to advertise and award a contract in a timely manner could result in missing the subsequent invoicing and reimbursement deadline, resulting in the loss of funding. Agencies must submit the notice of award to Caltrans in accordance with Caltrans Local Assistance procedures, with a copy also submitted to the applicable CMA. Agencies with projects that do not meet these award deadlines will have future programming and OA restricted until their projects are brought into compliance. For FTA projects, funds must be approved/ awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA."	Advertised within 6 months of obligation and awarded within 9 months of obligation.  FTA Grant Award: Within 1 year of transfer to FTA.
8	Submit First Invoice / Next Invoice Due	
	There is no guarantee that funds will be available to the project once de-obligated. If a project does not have eligible expenses within a 6-month period, the agency must provide a written explanation to Caltrans Local Assistance for that six-month period and submit an invoice as soon as practicable to avoid missing the 12-month invoicing and reimbursement deadline. Agencies with projects that have not been invoiced against and reimbursed within a 12-month period, regardless of federal fund source, will have restrictions placed on future programming and OA until the project is properly invoiced. Funds that are not invoiced and reimbursed against at least once every 12 months are subject to de-obligation by FHWA."	

	Appendix B - Continued	
, ,	Definitions of the Required Activities per Resolution 3606 (As revised July 2.	
Index	Definition	Deadline
8a	Inactive Projects:  Per MTC Resolution 3606-Revised, "Most projects can be completed well within the state's deadline for funding liquidation or FHWA's ten-year proceed-to-construction requirement. Yet it is viewed negatively by both FHWA and the California Department of Finance for projects to remain inactive for more than twelve months. It is expected that funds for completed phases will be invoiced immediately for the phase, and projects will be closed out within six months of the final project invoice. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated."	Funds must be invoiced and reimbursed against once every 12 months to remain active.
9	Liquidate Funds	
	Per MTC Resolution 3606-Revised, "Funds must be liquidated (fully expended, invoiced and reimbursed) within six years of obligation. California Government Codes 16304.1 and 16304.3 places additional restrictions on the liquidation of federal funds. Generally, federal funds must be liquidated (fully expended, invoiced and reimbursed) within 6 state fiscal years following the fiscal year in which the funds were appropriated. Funds that miss the state's liquidation/ reimbursement deadline will lose State Budget Authority and will be de-obligated if not re-appropriated by the State Legislature, or extended (for one year) in a Cooperative Work Agreement (CWA) with the California Department of Finance. This requirement does not apply to FTA transfers."	Funds must be liquidated within six years of obligation.
10	Est. Completion Date/Project Close-out	· ·
	one year prior to the estimated completion date provided to Caltrans. At the time of obligation, the implementing agency must provide Caltrans with an estimated completion date for that project phase.	Est. Completion Date: For each phase, fully expend federal funds 1 year prior to date provided to Caltrans.
	Furthermore, if a project is canceled, or fails to proceed to construction in 10 years, FHWA will de- obligate any remaining funds, and the agency is required to repay any reimbursed funds. If a project is canceled as a result of the environmental process, the agency does not have to repay reimbursed costs for the environmental activities. However, if a project is canceled after the environmental process is complete, or a project does not proceed to construction within 10 years, the agency is required to repay all reimbursed federal funds. Agencies with projects that have not been closed out within 6 months of final invoice will have future programming and OA restricted until the project is closed out or brought back to good standing by providing written explanation to Caltrans Local Assistance, the applicable CMA and MTC."	Project Close-out: Within 6 months of final project invoice.
Notes:	Approval in the TIP: For administrative/ minor TIP Amendments it is the date of Caltrans approval. For Amendments, it is the date of FHWA approval.	
	<sup>2</sup> Per DOT letter from Caltrans Local Assistance to MPOs, regarding "Procedural Changes in Managing O 9/15/05.	bligations", dated

### Appendix C Date of Most Recent Invoice on Record at CMA

Project Sponsors are required to submit an invoice at least once every six months following obligation for each phase for which federal funds have been obligated (per MTC Resolution 3606 - Revised 7/23/08), with the exception of the first invoice for the construction phase which must be submitted within 12 months following obligation. Funds that are not invoiced and reimbursed against at least once every 12 months are subject to de-obligation by FHWA.

Project Sponsors are requested to provide the CMA with copies of excerpts from invoices showing the invoice number, date, amount, and the signature of the agency representative (i.e. the CMA does not need copies of the entire invoice package).

Index	TIP ID/ Sponsor Project	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Obligation Date	Date of Most Recent Invoice on Record at CMA	Months <sup>1</sup> Since Most Recent Invoice on Record at CMA
1	ALA070042/ ACCMA I-880 SB HOV Lane	CMAQ	\$4,000	PE	07/08	12/19/07	?	?
2	ALA070025/ Alameda City of Alameda Signal Coordination	CMAQ	\$59	Con	06/07	5/31/07	?	?
3	ALA030002/ Ala. County Vasco Road Safety Imps., Phase 1	STP	\$3,900	R/W	-04/05	6/29/05	11/26/07	5
4	ALA050021/ Ala. County East Ave Rehab (Windfeldt Rd. to E St.)	STP STP	\$27 \$505	PSE Con	04/05 05/06	2/28/05 7/9/06	5/18/06 9/26/07	See Note 2
5	ALA050052/ Ala. County E.Castro Valley Blvd/ Dublin Canyon Rd.	STP STP	\$44 \$572	PE Con	05/06 05/06	1/20/06 8/13/06	12/22/06 6/30/07	See Note 2
6	ALA050072/ Ala. County Castro Valley Blvd Pavement Rehab	STP	\$83	PSE	07/08	6/26/13	11/27/07	5
7	ALA990078/Berkeley San Pablo Ave. Corridor Bicycle Path	CMAQ	\$1,034	R/W	06/07	6/8/06	12/18/07	10
8	ALA050022/ Fremont Rehabilitation on Various Streets	STP STP	\$2,172 \$2,850	Con Con	05/06 06/07	6/13/06 5/30/07	2/14/08 5/9/2008	See Note 2
9	ALA050025 /Hayward Hesperian Blvd Rehab	STP STP	\$8 \$713	Env Con	05/06 05/06	2/15/06 6/27/06	6/30/06 1/11/07	See Note 2
10	ALA050056/ Hayward West A Street Rehab	STP STP	\$13 \$109	PE Con	05/06 05/06	2/15/06 6/27/06	1/11/07 1/9/08	See Note 2 See Note 2
11	ALA050071/ Hayward Rehab on Various Streets	STP STP	\$45 \$835	PE Con	06/07 07/08	4/3/07 3/26/08	6/19/08 7/24/08	See Note 2
12	ALA050054 / Livermore East Ave Rehab (Hillcrest to Loyola)	STP	\$158	Con	05/06	5/1/06	3/21/07	See Note 2
13	ALA050024 / Livermore South Vasco Rd Rehab	STP	\$300	Con	05/06	5/1/06	3/21/07	See Note 2
14	ALA070038/ Livermore Downtown Ped Transit Connection	CMAQ	\$140	PE	07/08	11/16/07	8/7/08	2
15	ALA030007/ Oakland Coliseum Transit Hub	CMAQ	\$89	Con	06/07	1/17/07	8/3/07	See Note 2

Appendix C (cont.)  Date of Most Recent Invoice on Record at CMA								
Index	TIP ID/ Sponsor Project	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Obligation Date	Date of Most Recent Invoice on Record at CMA	Months <sup>1</sup> Since Most Recent Invoice on Record at CMA
16	ALA050021/ Oakland Oakland Street Resurfacing Program	STP	\$825	Con	05/06	6/21/06	6/20/07	10
17	ALA050023/ Oakland Rehabilittion on Various Streets	STP STP	\$1,573 \$2,486	Con Con	05/06 07/08	6/21/06 4/11/08	7/18/08	3
18	ALA050028/ Oakland Chinatown Ped Imps	CMAQ CMAQ	\$267 \$1,933	Env Con	04/05 05/06	5/17/05 6/30/06	1/23/08 7/8/08	See Note 2
19	ALA050039/ Oakland MacArthur Transit Hub Imps	CMAQ CMAQ	\$200 \$896	PE Con	05/06 06/07	3/30/06 3/20/07	7/17/08 7/17/08	See Note 2
20	ALA050080/ Oakland 7th St., W. Oakland Transit Villiage Imps.	CMAQ	\$320	PE	07/08	11/5/07	9/5/08	1
21	ALA050026/ San Leandro Washington Ave	STP STP	\$30 \$445	PSE Con	04/05 05/06	2/24/05 3/24/06	6/14/06 12/12/06	See Note 2
22	ALA05055/ San Leandro Floresta Ave Rehab	STP	\$185	Con	05/06	3/24/06	12/12/06	16
23	ALA050069/ San Leandro Washington Ave Rehab - Creek to I-880	STP	\$49	PE	06/07	3/5/07	9/5/07	13
24	ALA070030/ San Leandro Traffic Signal System Improvements	STP	\$100	Con	06/07	4/30/07	6/2/08	4
25	ALA050070/ Union City Alvarado-Niles Pavement	STP	\$5	PE	07/08	4/4/08	9/22/08	1

Notes: 1 Partial months are rounded up to full months (i.e. 4 months and 1 day = 5 months).

<sup>&</sup>lt;sup>2</sup> The programmed amount for this phase has been fully invoiced.